

NORTH CAROLINA ALARM SYSTEMS LICENSING BOARD

REGISTRATION PROCEDURES



Prepared By:

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I. PRIVATE PROTECTIVE SERVICES

A. *General Description*

Private Protective Services, a Section within the Training & Standards Division, of the North Carolina Department of Justice, consists of two licensing boards, the Private Protective Services Board (PPSB) and the Alarm Systems Licensing Board (ASLB), whose purposes are to administer the licensing, education and training requirements for fourteen licensed occupations. The Section operates under the statutory authority of North Carolina General Statutes 74C and 74D in order to safeguard the public welfare and safety.

B. *Regulated Activities*

North Carolina General Statute 74-D, the Alarm Systems Licensing Act, regulates the Alarm industry in North Carolina.

Alarm Systems Businesses - sells, installs, services, monitors or responds to electrical, electronic, or mechanical alarm signal devices, burglar alarms, television cameras, or still cameras, used to detect burglary, breaking and entering, intrusion, shoplifting, pilferage, or theft.

C. *Agency Structure*

This agency is divided into four Units:

Administration - The Administration Unit carries out directives of the Boards contained in North Carolina General Statutes 74-C and 74-D in order to safeguard the public and actively police both the Private Protective Service Industry and the Alarm Systems industries to insure compliance with the law in all aspects. This unit handles all personnel matters, budgetary matters, training matters and certification of trainers (instructors), and all administrative support activities necessary for the functioning of PPS.

Licensing - The Licensing Unit receives and processes each application received for an Alarm Systems Business License.

Registration - The Registration Unit receives, processes and issues three types of registrations for individuals employed by licensed companies: Unarmed, Armed and Alarm.

Note: Certain licenses require that the employees be registered with the Private Protective Services Board or the Alarm Systems Licensing Board. Applicants must submit a registration application along with certain other required documentation and fees.

Field Services - Investigators conduct background investigations on each application for license to verify applicant's qualifications for licensure and inquire as to applicant's moral character. Investigations are conducted on complaints alleging violations of North Carolina General Statute 74C (The Private Protective Services Act) and North Carolina General Statute 74D (The Alarm Systems Licensing Act). Audits of records required to be maintained by licensees are also conducted.

Note: Both Boards and the Attorney General have statutory authority to investigate and prosecute violations of General Statute 74C and 74D respectively. This prosecution may be through administrative hearings, criminal prosecution in District Court or other administrative action. The enforcement effort is supported by the Attorney for the Board.

D. ***Purpose of Class/Instruction***

The purpose of this instruction is to provide an overview of the requirements, process and procedures for registration of employees of licensed companies regulated by ASLB.

II. **REGISTRATION DEFINITIONS**

- A. **New** - Any applicant that has never been registered through ASLB or has expired with your company or any other company.
- B. **Renewal** - Any applicant already registered with your company that expires two years from date of issuance.
- C. **Transfer** - Any applicant that goes from one company to another during their active registration period. (It has to be between the same type of company; installer to installer, unarmed to unarmed).
- D. **Reissue (Duplicate)** - Any applicant that needs a card replaced for whatever reasons.
- E. **Licensee** - This is the License Holder

- F. **Designee** - This is the Person(s) appointed by the Licensee to sign applications. The Licensee must notify the board in letter form and include the Designee's signature, for verification on applications.
- G. **Rehire** - Any applicant you have terminated and you want to rehire while still having an active registration.
- H. **BPN#** - This is your Business Permit Number. This is found on your wall license.
- I. **Termination** - Any employee no longer working with your company.
- J. **Denials - Correctable Denials** are those with discrepancies or omissions in paperwork submitted by the company. **For Cause Denials** are those issued as a result of criminal convictions on the applicant's criminal record check or any convictions that may have been obtained through a preliminary background investigation which was conducted by our office. Once either denial is issued an extension request cannot be issued.
- K. **Name Changes** - marriage certificate, divorce decree, or any official court document must accompany all name changes.
- L. **Register and Terminate** - Any applicant terminated before the submission of registration application and/or leaves the company prior to registration. The Company must submit any paperwork, fee, and a termination notice.
- O. **Extensions** - An additional amount of time given upon request to process or complete the necessary information required for registration. Extensions may be requested along with the submission of the application if you know you will have to obtain an out-of-state criminal record check. The first extension request will give you an extra 10 days in addition to the 20 days given to complete the process from the date of employment. A second extension request is permissible in order to give you another 10 days as long as the request is received in our office before the first extension expires.

III. REGISTRATION REQUIREMENTS [Alarm]

A. *New Alarm*

1. **PRINT** in blue or black ink or **TYPE** application. Submit an **ORIGINAL**

copy to ASLB. It is also recommended that the company maintain a copy for their files and provide a copy to the applicant. While working in the scope of his/her duties, the applicant **shall** carry a copy of the application until a registration card is in their possession.

2. Fingerprint Cards. 1 set (hands) of classifiable fingerprints on an FBI applicant fingerprint card. The card can be obtained at Private Protective Services.

Required Card Data: Name: Last, First, Middle. Signature of Person fingerprinted. Residence of person fingerprinted. Date and Signature of Official Taking fingerprints. Employer and address. Reason fingerprinted. Date of Birth, Sex, Race, Height, Weight, Eyes, Hair, Place of Birth, Social Security Number, and Prints. All data must be filled in and prints must be legible or the application will be sent back or denied. Fingerprints must be made by rolling the finger from side of nail to the other side of the nail in order to be accepted.

3. Photographs. Applicants are **required** to submit digital photos in JPEG format by e-mail or by submitting them on a compact disc(CD) or on a 3.5 floppy diskette. **E-mail is the preferred method**. If you are submitting photos on CD or diskette they should always be sent along with the application(s) in which the photograph(s) will be used with. Please utilize the following format when naming the photo on e-mail, CD or diskette: *Doe.John.Joseph.2587.type.jpg.*, which is the last name, first name, middle name, last four digits of their social security number and the type should be either licensee or registrant.

4. Criminal History Records Search. Statement of the results of a local criminal records search by the Clerk of Superior Court or appropriate governmental authority in each county where the applicant has resided within the immediate preceding 48 months. Final dispositions of offenses must be included and the records check must have been completed within the previous 60 days. The Board now accepts “online” record checks in lieu of certified checks from the North Carolina Clerks of Court. If on-line checks are utilized, the following requirement will apply: On-line records checks must be obtained from the North Carolina Administrative office of Courts (AOC) criminal records database and, must be provided by one of the internet companies identified by AOC as a “Public Access User. **The Board currently does not accept “online” out of state records checks.**

5. Fees. \$40.00 and a \$38.00 fingerprint fee made payable by Check, Money Order or Cashier's Check. **NO** Counter Checks, personal checks, petty cash funds or Cash will be accepted. **Note:** All fees can be combined in one check unless it better serves your company to send individual checks. It is at the discretion of PPS to require a company to submit individual checks.
6. Applicant information data must be completed correctly, as indicated:

Check One: New, Renewal, Transfer or Duplicate;

SS#: Social Security Number; **DOB:** Date of Birth; **POB:** Place of Birth;

Name: First, Middle and Last;

Hgt: Height; in foot and inches; **Wgt:** Weight; **Eyes:** (Color); **Hair:** (Color);

Race: (Ethnic Group); **Sex:** (Gender);

Check One: US Citizen or Resident Alien;

Operator's (Driver's) License#: Applicant's Driver's License Number;

State: State issued.

Resident Address: 48 Month [past Four (4) years] address history required beginning with the Month and Year. Address information must be listed in chronological order with each month accounted for. For every address listed a Criminal Record Check from the proper Agency (Clerk of Court) must be submitted for that County with final dispositions. Out-of-state criminal record checks must come from Clerk of Court or other appropriate governmental authority. If checks can not be obtained from the state courts, then the Sheriff's Dept., Police Dept., or the State's Repository are an acceptable alternative. If an applicant has lived outside of the United States in a non-military capacity, or is a resident alien, they may submit a criminal record check, and/or copies of the green card and passport. Independent searches are NOT acceptable. A DD214 *is* acceptable for Military **only** if time was served overseas with an APO/FPO address listed. If the applicant is still on active duty in the U.S. but has served time overseas, a letter from his/her Commanding Officer will be necessary, stating that the applicant had no criminal record during the overseas tour of duty. All criminal record checks must have a search date of 48 months (4 years) and must be submitted within 60 days from date of search. A stamp, seal, or official letterhead must be on the records check. If the envelope that the criminal records check was received in reflects an official location, you may include it for consideration. A 10 day extension may be requested for an out-of-state records check **IF** all other required paperwork has been received in this office prior to the expiration of the 20 day registration period. A second extension request is also allowed if needed as long as the request is in our office before the first request expires. This will allow a total of 40 days in order to get all of the information in to PPS that is required. This office will provide you with information to help you obtain out-of-state records checks. This assistance will be in the form of the appropriate phone numbers and/or addresses of the agencies for you to contact.

Applicant Phone Number: Area Code with the applicant's home phone, or indicate none.

Date Employed as an Alarm Registrant in NC With Current Company: This **MUST** be filled out with applicant's date of employment in the capacity as an alarm registrant. This date **Begins** the first day of the 20 day registration period.

Company Information: Correct company name, address, and phone must be filled in for proper routing of registration cards. Cards will be mailed to the

address in the system that reflects the legal mailing address of the company.

BPN#: Business Permit Number. This number is included on your wall license it will have 6 numbers then a P followed by 1 or 2 digits ie. (000000P0). It is imperative to the registration process that this number be included and correct on applications. If you do not know your BPN# please contact PPS.

Position: In what capacity the applicant will be working, ie. sales, installation, supervisor, etc.

Supervisor: Person supervising the applicant.

Previous Registration Question: This question will determine how to handle the application once it is received. For example, is there a previous file?

Criminal Information/Conviction Questions: Applicant must answer these questions honestly and accurately to avoid denial. If any questions are answered yes, a *detailed* explanation must be provided with the application as well as an acknowledgment letter from the Licensee of the company.

Signatures: Any application NOT signed will be sent back or denied. Stamp signatures are **NOT** acceptable. All signatures must be the originals and signed by the applicant and the licensee/designee.

B. *Renewal Alarm*

1. **PRINT** in blue or black ink or TYPE application. Submit an ORIGINAL copy to ASLB. It is also recommended that the company maintain a copy for their files and provide a copy to the applicant.
2. Fingerprint Cards. 1 set (hands) of classifiable fingerprints on an FBI applicant fingerprint card. The card can be obtained at Private Protective Services.
3. Photographs. Applicants are **required** to submit digital photos in JPEG format by e-mail or by submitting them on a compact disc(CD) or on a 3.5 floppy diskette. **E-mail is the preferred method**. If you are submitting photos on CD or diskette they should always be sent along with the application(s) in which the photograph(s) will be used with. Please utilize the following format when naming the photo on e-mail, CD or diskette:
Doe.John.Joseph.2587.type.jpg., which is the last name, first name, middle name, last four digits of their social security number and the type should be either licensee or registrant.

4. Criminal History Records Search. Statement of the results of a local criminal records search by the Clerk of Superior Court or appropriate governmental authority in each county where the applicant has resided within the past 24 months. Final dispositions of offenses must be included and the records check must have been completed within the previous 60 days.
The Board now accepts “online” record checks in lieu of certified checks from the North Carolina Clerks of Court. If on-line checks are utilized, the following requirement will apply: On-line records checks must be obtained from the North Carolina Administrative office of Courts (AOC) criminal records database and, must be provided by one of the internet companies identified by AOC as a “Public Access User.
5. Fees. \$40.00 and \$38.00 fingerprint fee made payable by Check, Money Order or Cashier’s Check. **NO** Counter Checks, personal checks, petty cash funds or Cash will be accepted. Expired registrations must be submitted as new. The application will be considered expired if it does not arrive in the PPS office for processing before 5 o’clock of the last day of the current registration. **Note:** All fees can be combined in one check unless it better serves your company to send individual checks. It is at the discretion of PPS to require companies to submit individual checks.
6. Applicant information data must be completed correctly. Follow steps outlined for new applications in previous section.

C. ***Transfer Alarm***

1. **PRINT** in blue or black ink or TYPE application. Submit an ORIGINAL copy to ASLB. It is also recommended that the company maintain a copy for their files and provide a copy to the applicant.
2. Photographs Applicants are **required** to submit digital photos in JPEG format by e-mail or by submitting them on a compact disc(CD) or on a 3.5 floppy diskette. **E-mail is the preferred method.** If you are submitting photos on CD or diskette they should always be sent along with the application(s) in which the photograph(s) will be used with. Please utilize the following format when naming the photo on e-mail, CD or diskette:
Doe.John.Joseph.2587.type.jpg., which is the last name, first name, middle name, last four digits of their social security number and the type should be either licensee or registrant.

3. Fees. \$10.00 payable by Check, Money Order or Cashier's Check **NO** Counter Checks, personal checks, petty cash funds or Cash will be accepted.
4. Applicant information data must be completed correctly. Follow steps outlined for new and renewal applications in previous sections.

D. Apprentice Alarm

The Board may issue an apprenticeship registration permit to an applicant who is 16 or 17 years old and currently enrolled in high school if the applicant holds a valid drivers license and submits at least three letters of recommendation stating that the applicant is of good moral character as provided in G.S. 74D-2(d)(2). The letters of recommendation shall be from persons not related to the individual, and at least one of the letters shall be from an official at the school where the applicant is enrolled.

1. **PRINT** in blue or black ink or TYPE application. Submit an **ORIGINAL** copy to ASLB. It is also recommended that the company maintain a copy for their files and provide a copy to the applicant.
2. Photographs. Applicants are **required** to submit digital photos in JPEG format by e-mail or by submitting them on a compact disc(CD) or on a 3.5 floppy diskette. **E-mail is the preferred method**. If you are submitting photos on CD or diskette they should always be sent along with the application(s) in which the photograph(s) will be used with. Please utilize the following format when naming the photo on e-mail, CD or diskette:
Doe.John.Joseph.2587.type.jpg., which is the last name, first name, middle name, last four digits of their social security number and the type should be either licensee or registrant.
3. Fees. No fee is required.
4. Applicant information data must be completed correctly. The permit shall expire when the holder attains the age of 18.

E. Rehires Alarm

A rehire form must be submitted within 10 days of rehire and include the following information:

BPN#: Your Business Permit Number; **DATE:** Date Form Prepared; **NAME OF COMPANY;** **LICENSEE/DESIGNEE:** Signature of Licensee/Designee;
COMPANY ADDRESS: Your Business Address;**NAME;** Name of employee you are rehiring; **DATE OF BIRTH:** Employee's Date of Birth; **SOCIAL SECURITY NUMBER;** **DATE OF REHIRE:** Date employee returns to work; **EXPIRATION DATE:** Date registration card expires.

No fees are necessary unless applicant needs a new card. Photographs and \$40.00 duplicate card fee must be submitted if a new card is requested.

IV. CONTINUING EDUCATION CREDITS

The Alarm Board's Continuing Education (CE) requirements became effective July 1, 2002.

The rules require each licensee to complete at least 6 hours of CE training during each two-year renewal period. Registered employees are required to complete 3 hours of CE training during each renewal period. As a result, anyone renewing a license or registration on or after July 1, 2002 must have completed his or her continuing education hours within the previous two-year licensing or registration period.

In addition, the Board has also determined that any application for a new registration, where the employee has been registered for any time period during the previous two years, will also require submission of the CE certificate prior to issuance of the new registration. This does not apply to transfer or duplicate applications since the expiration date of the registration period remains the same.

Important Note: While all licensees must complete the CE training, these requirements only apply to registrants who are engaged in installation, service, sales or monitoring of alarm systems [as per Rule 11 .0501]. Some employees who are required to be registered, such as clerical/secretarial, will not be required to complete the CE credits. Upon submitting a registration renewal to the ASLB offices, the licensee or designee must indicate that the registrant is not engaged in installation, service, sales or monitoring of alarm systems and is not required to complete the CE. Exemption letters must accompany a renewal at every renewal period.

To receive Continuing Education credit, a licensee or registrant must:

Attend a Board-approved CE course

Sign the ASLB Attendance Roster upon arrival at the training class site.

Obtain a CE Attendance Certification from the instructor upon completion of the class.

Attach the Attendance Certification to the license/registration renewal form and submit it to the ASLB office when renewing the license or registration.

To obtain Alarm Board approval of Continuing Education courses:

Obtain an application for CE course approval from the ASLB office.

Submit the completed application and course outline to the ASLB office.

The Board's CE Sub-Committee will review the course to determine if it is pertinent to the industry and if it meets its stated objectives.

These findings will be reported to the Board's Education & Training Committee, which will then recommend to the full Board to accept or deny course approval.

If approved, the course is assigned a number and the course sponsor is sent a notice of approval [courses will be approved for four years].

Ten business days prior to the scheduled class, you should contact our office in writing and provide the course name, course number, location of course, instructor's name, and scheduled date(s). You will be sent a CE Attendance Roster for each class and the Attendance Certification. The instructor will then make a copy of the certificate of attendance for each attendee desiring credit and complete the second section on course completion. Individuals taking the course must fill out the last section and keep the certificate until their renewal time when a copy is to be submitted to the ASLB office along with their renewal.

The Board has determined that **any application for a new registration, where the employee has been registered for any time period during the previous two years, will also require submission of the CE certificate prior to issuance of the new registration.** This does not apply to transfer or duplicate applications since the expiration date of the registration period remains the same.

At the ASLB meeting on July 16, 2004, the Board made a decision that when determining whether an applicant would be required to obtain the CE credits, we will go by the **expiration** date and not the **termination** date. Therefore, if we receive an application within two years of the expiration of an applicants registration, the applicant will be required to obtain CE credits prior to being approved for registration.

V. **PROCESSING APPLICATIONS**

Once received in the PPS office, each application, along with all required documentation is opened and stamped with the date it is received.

Applicant information is entered into the computerized licensing/registration system and the money is posted. If the money is correct the applications are processed for correctness.

If the application is correct and approved, the card is printed and mailed to the company at the address listed on the application.

A. ***Deferrals***

If a criminal record check is submitted for an applicant that has pending charges and the court date has passed, we will request information regarding the pending charge. If the final disposition is not received, the applicant will be denied for incompleteness. You must make sure all pending charges have a disposition, and are submitted to PPS.

B. ***Preliminary Investigation of Registration Applications***

While processing registration applications, a preliminary investigation is conducted on each new applicant and a random sampling of renewal applications. Information may be obtained indicating the applicant may have a criminal record that was not submitted with the application.

Our office will generate a letter requesting that the company submit a certified criminal record check from the jurisdiction where the possible record was located. Included in the letter will be the charges, dates and location of the record.

C. ***Denials***

There are two types of denials; Correctable Denials and Cause Denials.

Correctable

Correctable denials are denials in which there were discrepancies in the application package and the applicant has already worked in excess of the 30 day period or the

registration has expired.

A correctable denial may not be appealed. Once an applicant has been denied correctable, the licensee will have thirty days to provide staff with the information that was omitted from the application. Once the thirty days have passed and if **all** the information has not been submitted, the licensee **shall** remove the applicant from alarm related assignments. The applicant will not be allowed to work until the information is provided and they receive the registration card. This process is effective for those applications that are denied for **correctable reasons only**. If the applicant is denied for **cause reasons**, the applicant will still be required to be immediately pulled from post if they are registering as a **new** applicant. If the applicant is being denied for a combination of **correctable** and **cause** reasons, they will still be required to be pulled from post immediately upon receiving the denial letter if they are registering as a **new** applicant.

Applications submitted without the required criminal records checks or if the applicant has criminal convictions will be considered a **for cause** denial and applicant's registering as **new** would not be allowed to work until they submit the required information and receive the registration card.

Cause

Cause denials are a result of criminal convictions on the applicant's criminal record check or any convictions that may have been obtained through a preliminary background investigation which was conducted by our office. If this is a new applicant and you receive a letter indicating the denial is for CAUSE, the applicant must immediately cease performing any ASLB regulated activity. The applicant may follow the steps for appealing the denial.

If this denial is on a renewal application the applicant must cease working until an appeal is filed with our office. Once the appeal is filed the applicant **MAY** continue to work until a Final Agency Decision has been issued.

ALL APPEALS MUST BE IN WRITING, FROM THE APPLICANT

Reconsideration for Cause

READ DENIAL LETTER THOROUGHLY. There may be an indication that the application can be reconsidered for approval by submitting a letter of explanation from the applicant and/or documentation from the courts, and a letter from the licensee

indicating their desire for employment.

D. ***Returns***

Often, the PPS Office receives applications that are so incomplete they can not be processed. The staff is currently working on a procedure whereby such applications would be returned to the company in their entirety for corrections, prior to any processing by the PPS staff.

E. ***Registration Dissemination***

Registration cards are prepared daily and mailed throughout the week. Cards may NOT be picked up.

All supplies are mailed upon request. We are happy to mail all the supplies you need but remember forms change from time to time, therefore it is not good to order an excessive amount. In addition, due to increased printing costs and the possibility of changes in forms, we will provide quantities of forms based on the number of guards employed by the company. You may call your request in or make the request in writing

Also, **do not use original ASLB applications as initial employment applications.** If you desire to use the forms for initial screening of applicants for employment with your company, you should make copies of the application for that purpose, and complete the original application form only if the applicant will be submitted for registration.

F. ***Record Retention***

All records required to be kept shall be retained for at least three (3) years. This includes a copy of the employees registration application. In maintaining these files it is recommended that you copy the registration card and place a copy along with the application.

All records pertinent to an audit or an investigation shall be subject to inspection by the PPS staff upon demand between 8:00 a.m. and 5:00 p.m., Monday through Friday.

All licensees having registered employees are required to maintain a copy of their quarterly tax and wage report in the same form as submitted to the Employment Security Commission.

Note: It is the policy of the ASLB Board to allow licensees to maintain ESC reports at their place of business rather than send them to the Board's office. However, the reports must be submitted upon request of the PPS staff and must be available for inspection by staff at the licensee's place of business.

VII. DENIALS AND THE APPEAL PROCESS

Usually, a denial for a registration permit is for lack of good moral character. North Carolina General Statute 74D-6(3) grants the Board the authority to deny an application for lack of good moral character. Further, it grants the Board the authority to suspend or revoke a license or registration that has already been granted to an individual.

Evidence of lack of good moral character may be demonstrated by conviction of a crime for the following:

1. Illegal use, carrying, or possession of a firearm;
2. Illegal use, possession, sale, manufacture, distribution, or transportation of a controlled substance, drug, narcotic, or alcoholic beverage;
3. Felonious assault or act of violence;
4. Unlawful breaking or entering, burglary, larceny;
5. Any other offense involving moral turpitude. [**Note:** this may include worthless check convictions, trespassing offenses, etc.]

"Conviction" means a plea of guilty **or** no contest, or a verdict entered in open court.

If an applicant is denied, the applicant can appeal the denial by sending a letter of appeal to the Board. An action is filed on their behalf in the Office of Administrative Hearings. This is a formal proceeding where a sworn testimony is taken, cross-examination of witnesses are allowed, and documentary evidence is admitted into an "Official Record." The judge sits in place of the Board and collects facts and composes a recommendation to the Board.

After the Official Record is published by the Office of Administrative Hearings, the full Board

reviews the record and votes on a Final Agency Decision. The Board may adopt,

modify, or reverse the judge's decision.

If a Final Agency Decision is issued and denies a license or registration permit, the applicant may not work. The appeal from this decision is to the Superior Court.

VI. CLOSING

A. *Summary*

Compliance with the Registration requirements of the ASLB Board is important. While the staff is always willing to assist with any registration issues that may arise, the responsibility for compliance is with the company. The individual license holder and the company may be subject to disciplinary action by the Board if the registration requirements are not met.

B. *Questions*